



**Your completed FISAP
must be transmitted via the Title IV WAN by: October 1, 1999**

Fiscal Operations Report for 1998-1999 and Application to Participate for 2000-2001 (FISAP)

**in the Federal Perkins Loan
Federal Supplemental Educational Opportunity Grant (FSEOG)
and Federal Work-Study (FWS) Programs**

Department of Education
Student Financial Assistance Programs

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The Legal Reason Why You Must Complete the Application

The law states that if we do not receive a completed application by October 1, you cannot be assured that your institution will be allocated funds for any of the campus-based programs. (If you want to request a level of expenditure for the Federal Perkins Loan Program, even if you need no new Federal funds, you must submit an application.) The regulatory and statutory citations are as follows: Federal Perkins Loan (34 CFR 673.3) (20 U.S.C. 1087bb), FWS (34 CFR 673.3) (42 U.S.C. 2752), FSEOG (34 CFR 673.3) (20 U.S.C. 1070b-3).

The Legal Reason Why You Must Complete the Fiscal Operations Report (FISCOP)

Federal regulations state that if you spent funds in 1998-1999 or have a Federal Perkins Loan Fund, you must submit a Fiscal Operations Report. The regulatory and statutory citations are as follows: Federal Perkins Loan (34 CFR 674.19), FWS (34 CFR 675.19), FSEOG (34 CFR 676.19), (20 U.S.C. 1094).

Disclosure of Estimated Burden

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1840-0073. The time required to complete this information collection is estimated to average 17 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate or suggestions for improving this form, please write to:** U.S. Department of Education (ED), Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Institutional Financial Management Division, Institutional Services Branch, ROB-3, Rm. 4663, U.S. Department of Education, 600 Independence Avenue, SW, Washington, D.C. 20202-5458.

**OMB N° 1840-0073
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Fiscal Operations Report and Application to Participate (The FISAP)

What is this package?

The Electronic FISAP program is a software package containing the Application to Participate in the three Campus-Based Programs (Federal Perkins Loan, Federal Supplemental Educational Opportunity Grant (FSEOG), and Federal Work-Study (FWS)) for the award year July 1, 2000 through June 30, 2001, and the Fiscal Operations Report for program participation during the award year July 1, 1998 through June 30, 1999.

What do these programs provide?

The Federal Perkins Loan Program provides low-interest loans to students with financial need who are attending institutions of higher education to help pay the costs of their postsecondary education (CFDA #84.038).

Note: CFDA is the acronym for the Catalog of Federal Domestic Assistance, which describes all Federal programs.

The FSEOG Program provides grants to students with financial need who are attending institutions of higher education to help pay the costs of their postsecondary education (CFDA #84.007).

The FWS Program provides part-time employment to students attending institutions of higher education who need the earnings to help pay the costs of their postsecondary education (CFDA #84.033).

What should new applicants do to participate?

You should contact your Campus-Based Financial Management Specialist in Washington, D.C. for instructions and guidance. A list of Campus-Based Financial Management Specialists is on Page 43 of this instructions booklet.

As a new applicant, you will ultimately need to have on file a letter from the Department of Education's Institutional Participation & Oversight

Service (IPOS) informing you that your institution is certified to participate in the campus-based programs. If the 2000-2001 award year will be your first year in the programs, and you do not yet have this certification letter, or if you need to re-establish certification for 2000-2001, your institution must submit all documents required to obtain certification to IPOS postmarked by January 15, 2000. This means that your institution need not establish its eligibility first in order to file this application by the deadline of October 1, 1999.

Prior to being certified to participate in one or more of the Title IV Federal student financial aid programs, your institution may be required to send two representatives to the Department's Precertification Training Workshop. You may obtain information regarding workshop requirements, dates, and locations by accessing the Student Financial Aid Training Calendar at <http://www.ed.gov/offices/OPE/announce/trng/pctr.html>. To register for training, you must call the Training Branch at (202) 260-1928.

Will I need to complete the entire FISAP?

Maybe not. To decide what parts must be completed, you must know what your institution did last year and what it plans to do next year. This package contains data cells for two separate award years: an Application for funds for 2000-2001 and the Fiscal Operations Report for 1998-1999.

The FISAP package is divided into three main parts: Identifying Information, Certifications and Warning; the Application to Participate; and the Fiscal Operations Report. The table of contents is your guide to instructions for each part of this FISAP package.

Use this table to determine what parts need to be completed:

For this situation	Complete these Parts
You are requesting	FISAP, Part I:

funds for 2000-2001	Identifying Information, Certifications, and warning
	FISAP, Part II: Application to Participate
You received funds for 1998-1999	FISAP, Part I: Identifying Information, Certifications, and Warning
	FISAP, Parts III, IV, V, Fiscal Operations Report as applicable, and
	FISAP, Part VI, Program Summary

In addition:

- If your institution is liquidating its Federal Perkins Loan Fund, or if your institution did not receive a federal capital contribution for the 1998-1999 award year but did make loans from the Federal Perkins Loan Fund, you must complete the Identifying Information, Certifications and Warning, and the Perkins Loan Program pages of the Fiscal Operations Report.

My institution has branches or multi-campus or other locations. Can I complete one application to cover funding for all branches?

Yes, you may always submit one application; in fact, an institution **MUST** submit just one application if the following conditions are true:

- The institution has one eligibility letter from the Department of Education's Initial Participation Branch (IPB) that covers the institutions branches, extensions, or other locations, and those branches, extensions, or other locations, are not separately eligible,
- and

those branches, extensions, or other locations have students who are eligible for assistance under these programs.

You must include data for all eligible locations and

make funds reasonably available to all eligible students.

Students attending locations not included in the IPB letter of eligibility are considered by the Department to be attending a non-eligible site. Therefore, these students can neither be included in this application, nor receive aid under these programs.

Institutions with separate eligibility letters from IPB, but under the same administrative control or ownership, have the following options:

OPTION A: Each institution may complete a separate application. (Any data that you enter in an institution's application must not be duplicated in any other institution's application); or

OPTION B: These institutions may combine to complete one application. You must include in your FISAP the name, address, and OPEID# of each separately-eligible institutional location that is covered by this application. You must also be able to provide this data separately for each location, if required to do so by an audit or program review.

On page 2 of the Identifying Information screen, you will be asked if you are listing any other separately eligible locations that are included in the application. If you answer yes, you may enter all locations on that screen.

How may I submit my FISAP data?

The Department of Education's Title IV WAN enables you to transmit, receive, and report FISAP information electronically through your PC. If you do not have an agreement on file, you must file a Letter of Application and a Participation Agreement by writing to:

Title IV WAN
P.O. Box 30
Iowa City, IA 52244
or
Telephone: 1-800-615-1189

Where do I send the FISAP?

You will use the EDConnect software to send your FISAP information through the Title IV WAN to the campus-based contractor. The contractor will

process the data and return the information to your mailbox. You **must** submit your FISAP data via the Title IV WAN in order to be processed by the Campus-Based system.

Where do I send the signature page and certification forms?

Mail the original copy of your FISAP signature page and your combined Drug-Free Workplace, Anti-Lobbying, and Debarment certifications for the 2000-2001 award year to the following address:

Electronic FISAP Administrator
c/o Universal Automation Labs (UAL)
8300 Colesville Road
Suite 500
Silver Spring, Maryland 20910

NOTE: The FISAP signature page and the certifications **MUST HAVE ORIGINAL SIGNATURES**. It is important that you print your signature page as one page with the certification and warnings.

You must print the signature page, and compliance certification forms from your electronic FISAP software.

What does the Department of Education do with the information that I submit?

The Department of Education uses the information that you provide in the Application to Participate and in the Fiscal Operations Report to determine the amount of funds you will receive for each program. You must provide accurate data.

If you do not provide us accurate data, you may not get all of the funds that you are entitled to receive. You must retain auditable and verifiable records for program review and audit purposes.

The Department of Education also uses your Fiscal Operations Report data to manage the Perkins Loan Fund portfolio, and to monitor expenditures in the Campus-Based Program.

When is the FISAP due?

The electronic data submission must be transmitted before midnight EST on October 1, 1999.

When will I hear from the Department of Education?

By November 15, 1999, the Department will send you an electronic Edit Report via Title IV WAN that will confirm the exact data we have entered into our data base from your FISAP submission.

Also, we will let you know your tentative 2000-2001 award amount(s) by February 1, 2000, and your final award amount(s) by April 1, 2000.

What general instructions should I follow when I complete the FISAP?

Read all of the instructions in this package carefully **BEFORE** you begin completing the electronic FISAP software.

Use actual figures, except for the items for which we specifically ask you to use estimates.

If we ask for a dollar amount, use whole dollars only. **Do not report cents.** The electronic FISAP system will not accept the submission of cents. Round to the nearest dollar. For example, report \$175 if the actual amount in your records is \$175.49. Report \$176 if the actual amount in your records is \$175.50.

The electronic FISAP software will accept only positive amounts. Most calculations are performed for you automatically in the electronic FISAP process. Complete only those items that pertain to your institution.

Instructions for Part I: Identifying Information, Certifications, and Warning

Who must complete Part I?

All institutions must complete Part I.

Field-by-field instructions for Part I

Section A. Identifying Information

You are required to send a completed paper FISAP signature page containing Part I information and original signatures to the Department of Education address listed on page 4 of this document. You must print out the Identifying Information, Certifications, and Warning signature page directly from your computer by selecting File/Print from the Menu bar.

Field

1.a Name and address of institution

If your institution is a current participant in the Campus-Based Programs, the electronic FISAP program provides the name and address of your institution as it is listed in our files. You will need to verify this data for accuracy and make any corrections necessary.

If your institution is a **new applicant**, you will need to enter your correct name and address. The name and address entered in field 1.a. must be that of an institution of postsecondary education. The address must be the actual street address of the institution. Do not enter the P.O. Box, an administrative entity location, or the address of the corporation that controls the institution.

If you are a new applicant, you must notify the **Institutional Participation and Oversight Service (IPOS)** for eligibility, or if you are a current participant and need to change your name and address, contact IPOS at the

following address:

Institutional Participation and
Oversight Service
Regional Office Building N^o 3,
Room 3514,
Washington, D.C. 20202

If the institution entered in field 1.a is a new applicant for 2000-2001, but its students were included in the 1999-2000 application filed last year by another institution or location, identify that institution's name and address on the FISAP additional information screen, and enter a brief explanation.

1.b Mailing address

If your institution is a current participant in the Campus-Based Programs, the electronic FISAP program provides the name and mailing address of your institution as it is listed in our files. You will need to verify this data for accuracy and make any corrections necessary.

If your institution is a new applicant, you will need to enter your mailing address if it is different from the address given in field 1.a. You may enter a P.O. Box or an administrative entity location. However, if your institution uses the services of a private firm in the administration of these programs and reports that fact in field 9, do not report them here.

2a, 2b & 2c Department of Education Identifiers (DUNS, Serial, & OPEID Numbers)

If your institution is a current participant in the Campus-Based Programs, the electronic FISAP program will automatically provide these identifying numbers.

If you are a new participant, the identifying numbers will be provided when your eligibility is approved.

3 Type of institution

If your institution is a current participant in the Campus-Based Programs, the electronic FISAP program provides the type of institution that is listed in our files. You will need to verify this data for accuracy and make any corrections necessary.

If your institution is applying for Campus-Based funds for the first time, select the number that best describes your type of institution and enter it in the field provided. Proprietary institutions *only* must also enter a number in the appropriate subtype.

4 Length/type of longest program

If your institution is a current participant in the Campus-Based Programs, the electronic FISAP program file will automatically provide the length and type of program. You will need to verify this data for accuracy and make any corrections necessary.

If your institution is a new applicant, select the number that best describes your type of institution, and enter it in the field provided.

For items 3 and 4, if you are preparing this FISAP on behalf of two or more institutions of different type or length of program, enter the number that represents the highest percentage of the enrolled students entered in Part II, Section F.

5 Additional locations

If your institution is a current participant in the Campus-Based Programs, the electronic FISAP program provides the name and address of your additional locations as they are listed in our files. You will need to verify this data for accuracy and make any corrections necessary.

An institution which included students at other separately eligible institutions must list the name, address, and OPEID# for each of these institutions in the additional

location section.

If the institution entered in field 1.a is a new applicant for 2000-2001, but its students were included in the 1999-2000 application filed last year by another institution, identify that institution's name, address, and Department of Education Identifiers on the FISAP additional information screen, and enter a brief explanation.

Section B. Certifications and Warnings

**6,7
&8** You must complete all appropriate fields in this section. The certifying officials must be aware that the information in this FISAP is subject to audit and program review. Providing false or misleading information may result in criminal penalties.

When you submit Part I, the Identifying Information, Certifications and Warning page, YOU MUST HAVE THE NAMES, SIGNATURE DATES, TELEPHONE NUMBERS, FAX NUMBERS, AND ORIGINAL SIGNATURES of the institution's officials. We are also requesting that you provide the e-mail address of the Financial Aid Administrator (FAA).

9 If the institution uses the services of a private firm in the administration of these programs, and individuals from that firm have signed as the FAA in field 7, and/or as the Chief Fiscal Officer (CFO) in field 8, you must also complete field 9.

Do not include private CPAs or billing and collection agencies. If you make an improper entry in this item, we will mail important documents to this address rather than to your institution.

Instructions for Part II: Application to Participate

Who must complete Part II?

If you want to request Campus-Based funds for your institution for the 2000-2001 award year, you must complete Part II.

Section A: The amount of funds received by your institution is computed by formulas contained in the effective legislation and regulations using the information that you provide in this part of the FISAP. The amounts that you request in Section A serve as an upper limit to the amounts you receive.

Section B: Reserved for future use.

Section C: FWS/FSEOG Institutional Share Waiver Request is for those institutions that both qualify for and desire the waiver. A waiver allows an institution to use only Federal funds when making FWS and/or FSEOG awards. For the institution, this will result in less funds being available for awards to students in these programs.

Section D: An institution may decide to withdraw from the Federal Perkins Loan Program by indicating the desire to do so and following the approved liquidation procedures.

Section E: An institution may request a waiver of the penalty for the under use of 1998-1999 award year funds.

Field-by-field instructions for Part II

Section A. Request for Funds for the 2000-2001 Award Year

Enter in field 1 your Federal Perkins Loan Level Of Expenditure (LOE) request, and in fields 2 through 4 the amount of authorization your institution wants to receive for each program. If you do not enter an amount in a field, your institution will not get any funds in that category. The amount that you request should represent the maximum amount that your institution will accept. Do not request more Federal funds for a program than you expect to use. Unexpended balances from the previous year are an indicator that requests were over-estimated and should be

reduced.

Field

1 Federal Perkins Loan level of expenditures (LOE)

Enter the amount your institution wants to expend from its loan fund to make loans to students and to pay administrative and collection costs.

Institutions planning to expend loan fund cash on hand in 2000-2001, but not requesting any new Federal capital contribution, must complete field 1.

An institution which will be making no loans in 2000-2001, but anticipates charging allowable collection costs to its loan fund cash, must request an LOE in field 1.

2 Federal Capital Contribution (FCC)

If your institution currently participates in the Federal Perkins Loan Program, request the amount of Federal funds you need to support your LOE request.

It is suggested that you determine your need for FCC as follows: LOE request in field 1 minus the sum of 2000-2001 projected repayments from borrowers, anticipated cash on hand as of June 30, 2000, and your projected Institutional Capital Contribution (ICC). If the result of this calculation is zero or negative, your institution may need to request no additional FCC. If your institution is requesting Federal Perkins Loan funds for the first time, multiply field 1 by .75 and enter that amount in field 2. If you leave field 2 blank, you will receive no Federal funds. Field 2 must always be less than field 1.

3 FSEOG Federal funds

Enter the amount of Federal dollars your institution wants for awards to students and administrative costs.

4 FWS Federal funds

Enter the amount of Federal dollars your institution wants for awards to students, expenditures for the Job Location and Development Program (JLD), and administrative costs.

Section B. Reserved for future use.

Section C. 2000-2001 FWS and/or FSEOG Institutional Share Waiver Request

If your institution is qualified for and wants to request a waiver of the institutional share requirements for FWS earned compensation and/or FSEOG awards, you must select the Yes box for the appropriate program(s).

Section 675.26(d) of the FWS regulations and Section 676.21(b) of the FSEOG regulations state that the Secretary authorizes, under special circumstances, a Federal share of 100 percent of the FWS student compensation paid and/or FSEOG awarded for each award year.

6.1 FWS and/or FSEOG waiver for 6.2 institutions which have been designated as eligible for Title III

To receive a FWS and/or FSEOG institutional share waiver, the governing regulations stipulate that the institution must request them as part of its regular funding application for each award year. In addition, the institution must be designated, during the year of application, as an eligible institution under the Strengthening Institutions (34 CFR Part 607) or the Strengthening Historically Black Colleges and Universities (34 CFR Part 608) programs under Title III. Institutions designated as eligible under only the Title III Strengthening Historically Black Graduate Institutions Program (34 CFR Part 609) are eligible for only the FWS waiver.

If this 2000-2001 FWS and/or FSEOG application is on behalf of two or more separately eligible institutional locations, and all of these locations do not meet at least one of the above Title III eligibility criteria, your institution may not request or receive a waiver. You must file separate FISAP applications if you desire this waiver.

Proprietary institutions and institutions whose primary purpose is to train individuals for religious vocations or to be teachers of religion are ineligible to apply for or participate in any Title III programs.

To apply for Title III eligibility you should contact:

U.S. Department of Education
Institutional Development Undergraduate
Education Service (IDUES)
Title III Eligibility Designation
600 Independence Ave., SW
Portals Building, Room CY-80
Washington, DC 20202-5335
Phone: (202) 708-8839

Section D. Federal Perkins Loan Program Liquidation Request

If your institution no longer wishes to participate in the Federal Perkins Loan Program, you must select the “Yes” box. You may obtain a copy of the liquidation procedures (CB-98-11) by accessing the Department’s Information for Financial Aid Professionals website at <http://ifap.ed.gov>. The Federal share of cash on hand in the portfolio must be returned to the Department.

7 Request to liquidate Perkins

If your institution wishes to discontinue participation in the Federal Perkins Loan Program select the “Yes” box.

Section E. Waiver Request for the Underuse of Funds

If your institution has underused more than 10 percent of its Federal Perkins Loan , FSEOG, or FWS allocation for the 1998-1999 award year,

your institution will automatically receive a reduction of the 2000-2001 allocation for that program in the amount of the 1998-1999 funds that were underused.

Institutions may request a waiver of the underuse penalty by selecting the Yes box in Part II, Section E and providing a written explanation of the circumstances that caused the underuse of their allocation on the electronic FISAP Additional Information screen.

If you need to send additional documentation to support your written explanation, you must include it when you submit your signature page and certification forms.

Each waiver request will be considered by a review panel. Institutions will receive the approval or denial decision of their request by November 18, 1999.

8 Request waiver for underuse of funds

Indicate that your institution wishes to request a waiver of the underuse of funds penalty by selecting the “Yes” box.

Section F. Information on Enrollment

9 Traditional or non-traditional calendar

If your institution has a traditional calendar, mark the “yes” box and report enrollment in field 10 or fields 11 and 12.

Traditional calendar means that your institution has academic terms that are quarters, trimesters or semesters, and that the institution has only one admission period during each academic term. To clarify this requirement the following information is provided:

- Field 10, or fields 11 and 12 must include all students enrolled in an undergraduate or graduate/professional class. This includes all students who took at least one class of a course that was:
 - a) creditable toward a degree or certificate; or
 - b) listed as an undergraduate or

graduate/professional course in the institution's catalog; or

- c) offered as an elective or required course as part of the undergraduate or graduate/professional curriculum; or
- d) a remedial course required as part of the student's program; or
- e) otherwise considered to be an undergraduate or graduate/professional course by the institution.

If your institution has a non-traditional calendar, mark the “no” box and report enrollment in fields 13 through 25.

Non-traditional calendar means that your institution admits a new group of students monthly or more frequently into a majority of its eligible programs, even if they attend classes on a quarter, trimester, or semester basis. If the students enroll on a quarter, trimester, or semester basis, but the institution admits a new group of students in a program monthly, bi-monthly, etc., we consider such a calendar to be non-traditional, and you must complete fields 13 through 25, instead of field 10 or fields 11 and 12.

Classify a student as an undergraduate or graduate student according to the instructions for Section H. If a student was enrolled as an undergraduate student during an earlier term in 1998-1999 and a graduate student in a subsequent term in 1998-1999, report the student as a graduate student in Section F.

10, 11 Information on enrollment for an &12 institution with a traditional calendar

Applicant institutions that operate on a traditional academic calendar, or have a majority of their eligible programs operating on a traditional calendar, must enter an unduplicated number of all students enrolled (full-time and less than full-time) for the 12-month period ending June 30, 1999.

- **Do not include students who were exclusively auditing a class or classes.**

- **The tuition and fee revenue for entry in Section G, field 26, must be for those students reported in Section F only.**

Column a. Report the number of students enrolled in undergraduate classes.

Column b. Report the number of students enrolled in graduate/professional classes.

10 Total number of students, 1998-1999

Report the unduplicated number of students your institution enrolled at any time during the 12-month period July 1, 1998 through June 30, 1999. Count each student only once.

11-12 Estimated number of students, 1999-2000 & projected number of students, 2000-2001

If your institution has a traditional calendar, and had no enrollment in 1998-1999, but will have enrollment in 1999-2000, and/or 2000-2001, report the estimated and projected unduplicated numbers expected to enroll at any time during those 12-month periods.

13-25 Information on enrollment for an institution with a non-traditional calendar

Include only students who were enrolled in Campus-Based ELIGIBLE educational or instructional programs during any month from July 1, 1998 through June 30, 1999. In column (a) put the number of students who were enrolled the previous month and were still enrolled on the first day of the month listed. In column (b), put the number of new starts.

New starts are students who start at any time during the month and include students who were enrolled in the previous year and are re-enrolling at the institution after a break in enrollment. Once a student is reported in either field 13(a) or fields 13(b) through 23(b), the student is reported in fields 14(a) through 24(a) for any succeeding months through June 30, 1999 during which he or she was enrolled at the institution.

In each column, field 25 is the sum of

fields 13-24. Note that the total you obtain in field 25 column(a) plus 25 column (b) will be total student-months rather than total number of students.

An institution with a non-traditional calendar that completes fields 13-25 must use only the undergraduate columns in Sections G and H.

The tuition and fees revenue for entry in Section G, field 26, must be for those students reported in Section F only.

Section G. Assessments and Expenditures

26 Total tuition and fees for award year July 1, 1998 through June 30, 1999

NOTE: You must report the tuition and fee revenue for all enrolled students as categorized in Section F. Do not include tuition and fee revenue collected from any individuals not meeting the definition of enrolled student for Section F.

If the student was enrolled as an undergraduate student during an earlier term in 1998-1999 and a graduate student in a subsequent term in 1998-1999, divide the tuition and fees revenue between Columns A (undergraduate) and B (graduate) in proportion to the time spent in each type of class.

To complete these fields, you will need to determine the amount of tuition and fees assessed and subtract from it the amount refunded to students.

“Tuition and fees assessed” means:

- amounts you charged and collected,
- amounts you charged but did not collect,
- remissions or waivers of costs, even though you did not collect them,
- the types of fees included in the cost of attendance as allowed under Part F, Section 472(1) of the Higher Education Act of 1965, as amended,

and

- if you charged a total fee for tuition and room and board, do not count the cost of room and board. Allot a reasonable amount to “tuition”.

What to exclude: Exclude any fees that you assess to all students, but which all students are not necessarily required to pay (example: life and medical insurance for students).

What to do with terms/programs that cross award years: If an academic term extended beyond June 30, 1999 but the majority of the term took place in award year 1998-1999, include the tuition and fees assessment for that term in field 26.

If a student paid for a complete program of study and that program occurred in two award years, prorate, if possible, the tuition and fees which apply to the award year 1998-1999. If this is not possible, you may include the total tuition and fees assessed in field 26, but you must enter the total tuition and fees assessed in the application for each succeeding year to assure consistency.

27 Total Federal Pell Grant expenditures for the 1998-1999 award year

Report the total amount expended against your Federal Pell Grant authorization for the period July 1, 1998 through June 30, 1999. This amount should agree with the final cumulative expenditures through June 30, 1999 as entered in the Grants Administration Payment System (GAPS).

Any adjustments that you make in GAPS after filing this FISAP should be made to the entry for field 27 in your edit report corrections that you will return later this year.

28 Total expended for State grants and scholarships made to undergraduates for the award year July 1, 1998 to June 30, 1999

Report the amount of State grants and

scholarships expended for the award year July 1, 1998 through June 30, 1999 even if your institution received the funds after June 30, 1999.

Include the following need-based and non-need-based expenditures:

- state grants
- state scholarships
- tuition equalization

A non-need-based grant exclusively for private colleges, paid by a state to a student to offset their high tuition.

- competitive awards
- instructional grant awards

A grant paid by a state to students who are working and taking courses in related areas.

- LEAP awards (previously SSIG; Federal share plus match)

Include awards that are from the state where your institution is located and awards from other states.

For reporting LEAP awards, the source of the match is immaterial. Total LEAP's always should be reported.

Do not include:

- Robert C. Byrd Honors Scholarships
- Paul Douglas Teacher Scholarships

Do not include state awards if your institution has final decision on which students get the funds, unless such funds are used as a source of match for the LEAP Program.

Section H. Information on Eligible Aid Applicants for Award Year 1998-1999

Report the number of eligible aid applicants

enrolled at your institution in award year 1998-1999 who applied for financial aid for that year. Use the following definitions when completing Section H:

Regular student. This is a person who was enrolled at an institution of higher education in 1998-1999 for the purpose of obtaining a degree, certificate, or other recognized educational credential.

Enrolled student. This is a person who meets all of the criteria in the instructions for Section F, fields 10 through 12 or fields 13 through 25. A person is not enrolled if he or she did not begin attending a class.

Independent student. This is a student who:

1. was born before January 1, 1975;
2. is an orphan or ward of the court;
3. is a veteran of the Armed Forces of the United States;
4. is a graduate or professional student;
5. is a married individual;
6. has legal dependents other than a spouse; or
7. is a student for whom a financial aid administrator makes a documented determination of independence by reason of other unusual circumstances.

Undergraduate student without a baccalaureate or first professional degree. This is a regular student who has never earned a baccalaureate degree or first professional degree but who is enrolled in an undergraduate course of study, which usually does not exceed four academic years, at an institution of higher education. This includes students who are enrolled in a four to five year academic program designed to lead to a first degree. A student enrolled in a program of any other length is considered an undergraduate student for only the first four academic years of that program.

Undergraduate student with a baccalaureate or first professional degree. This is a regular student who has already received a baccalaureate degree or its equivalent or a first professional degree but who is enrolled in an undergraduate course of study at an institution of higher education and meets the criteria specified above.

Graduate/Professional student. This is a regular student who:

is enrolled in a program or course of study above the baccalaureate level at an institution of higher education or is enrolled in a program leading to a first professional degree;

- has completed the equivalent of a least three years of full-time study at an institution of higher education either prior to entrance into the program or as part of the program; and

is not receiving Title IV aid as an undergraduate student for the same period of enrollment.

Eligible aid applicant. This is a regular student who:

was enrolled in an academic or training program eligible for the campus-based programs during award year 1998-1999;

met citizenship or residency requirements for award year 1998-1999;

applied for financial aid for award year 1998-1999, as documented by the "official" Expected Family Contribution (EFC), calculated by the Central Processing System, and

has on file all information needed to perform a need analysis based on the information required in Part F of the Higher Education Act of 1965, as amended. (Refer to your Student Financial Aid Handbook).

Any student meeting the above criteria, regardless of the family's ability to contribute to the cost of attendance, is to be included in the grid as an eligible aid applicant. You must include students for whom you have no funds to award and students whom you determined did not need funds.

Please Note: If a student was an undergraduate during an earlier term in 1998-1999 and a graduate student in a subsequent term in 1998-1999, report the student as a graduate student in Sections F and H, but in Section G, field 26, divide the tuition and fees revenue between columns a (undergraduate) and b (graduate) in proportion to the time spent in each type of class.

If during 1998-1999 a student was an undergraduate during an earlier term, later

received a baccalaureate degree, and was subsequently enrolled in an undergraduate course of study, that student must be reflected in column b if he or she was dependent or column e if he or she was independent.

Categorizing 1998-1999 Eligible Aid Applicants for Data Entry in Part II, Section H

Field

29 Students with an “Automatic” Zero Expected Family Contribution (EFC)

DO NOT REPORT STUDENTS MORE THAN ONE TIME. ANY STUDENTS ENTERED IN FIELD 29 MUST NOT BE REPORTED IN FIELDS 30 THROUGH 43.

This is a student who has an “automatic” zero EFC for the 1998-1999 award year because:

for a dependent student, the parents did not file a 1997 IRS Form 1040, and the parents taxable income is \$12,000 or less; or

for an independent student with dependents other than a spouse, the student and spouse, if any, did not file a 1997 IRS Form 1040, and the student s and spouse s, if any, taxable income is \$12,000 or less. (Refer to the calculation worksheets titled, Expected Family Contribution-EFC/1998-1999.)

It is important to note that an independent student with only a spouse as a dependent does not qualify for an “automatic” zero EFC.

Not every student with a zero EFC has received an “automatic” zero EFC. To determine which students have received an “automatic” zero EFC, check the Student Aid Report (SAR) or Institutional Student Information Report (ISIR) containing the official EFC and data processed by the Central Processing System (CPS) for the “Automatic Zero EFC Flag”.

The “Automatic Zero EFC Flag” will be set to Y if the student has received an “Automatic” Zero EFC. This field will contain a blank if the student has not received an “Automatic” Zero EFC. Count only those

students whose output documents show a “Y” in the appropriate field.

Dependent Student

Primary EFC equals zero.

Secondary EFC is blank.

Parents type of 1997 tax return used is:

- completed 1040A, 1040EZ or 1040 TEL;
- estimated 1040A, 1040EZ or 1040 TEL; or
- did not file a tax refund.

\$12,000 or less in income reported as:

- parents Adjusted Gross Income (AGI), if a completed or estimated 1040A or 1040EZ used; or
- father s plus mother s income earned from work, if did not file a tax return.

Independent Student with Dependents Other than a Spouse

Primary EFC equals zero.

Secondary EFC is blank.

Student s (and spouse s, if any) type of 1997 tax return used is:

- completed 1040A, 1040EZ or 1040 TEL;
- estimated 1040A, 1040EZ or 1040 TEL; or
- did not file a tax return.

\$12,000 or less in income reported as:

- student s (and spouse s, if any) AGI, if a completed or estimated 1040A/EZ used; or
- student s (plus spouse s, if any) income earned from work, if did not file a tax return.

Fields 29-44

In each field 29 through 43, Columns a, b, d, e, and f, enter all eligible aid applicants (both full-time and less than full-time).

Column c. Of the students included in Columns a and b enter the number of students who attended classes on a less than full-time basis. In order to determine whether a student is less than full-time or not, please refer to the Federal Student Financial Aid Handbook 1999-2000, pages 2-17 and 2-18.

In each column, field 44 is the sum of fields 29 through 43. However, students reported in field 29 must not be included in the entries for fields 30

through 43.

The determining factor for entry of data on an eligible aid applicant in the proper income cell is the income that was used to calculate an expected family contribution (EFC) for 1998-1999 which was, or would have been, the basis for awards to that applicant under the campus-based programs.

Because the Federal Needs Analysis Method considers the dependent student's base year income, the financial aid administrator must use both the student's and parents' base year income in determining grid placement. Income information for the dependent student must have come from a document signed by at least one parent of the student.

The information for proper grid placement is found on the SAR and ISIR.

Because the institution may need to correct or adjust the student's information and recalculate the EFC, the institution needs to reflect the updated information used in the recalculation in completing the grid.

The reference items for this income information are:

Parent's income - The sum of the following separately listed items:

- Adjusted Gross Income from IRS form, or if no tax form was filed, father's income earned from work and mother's income earned from work, plus
- Earned Income Credit (if tax filing), plus
Untaxed social security benefits, plus
Annual AFDC/ADC, plus
Annual child support received, plus
Other untaxed income, minus
Title IV income exclusions.

Student's (and spouse's, if any) income - The sum of the following separately-listed items:

- Adjusted Gross Income from IRS form, or if no tax form was filed, student's income earned from work and spouse's income earned from work, plus
- Earned Income Credit (if tax filing), plus
Untaxed social security benefits, plus
Annual AFDC/ADC, plus

Annual child support received, plus
Other untaxed income, minus
Title IV income exclusions.

NOTE: When calculating income for proper grid placement, you must remember to subtract Title IV Income Exclusions from the Adjusted Gross Income as was done in the 1997-1998 award year. This item is reported separately on the FAFSA.

Because Veterans Administration (VA) educational benefits are not used in calculating the EFC, VA educational benefits are not used when determining "grid" placement.

Instructions for Part III: Federal Perkins Loan Program Fiscal Operations Report

Who must complete Part III?

You must complete Part III if

your institution is a continuing participant
in the Federal Perkins Loan Program;

or

your institution is liquidating its Federal
Perkins Loan Fund (hereafter known as
the Fund) until the process has been
completed;

or

your institution did not receive Federal
capital for the award year 1998-1999,
but did make loans from its Fund.

What will I need to complete Part III?

You will need your Federal Perkins Loan
Program Account Ledgers.

Part III, Section A, requests cumulative data.
(The account numbers in the Department's
accounting reference manual, "The Blue Book,"
are structured to the elements of your balance
sheet instead of the field numbers in Section A.)

Section B requests the annual fund activity,
Section C requests the cumulative repayment
information, and Section D contains cohort
default rate data. The following information
must also be reported in Part III, as applicable:

Amounts received under the Department of
Defense Educational Loan Repayment
Program (10 U.S.C. 2172).

Amounts received from the consolidation of
a Federal Perkins Loan.

Amounts received under D of Title I of the

National Community Service Act of 1990,
Subpart D.

Field-by-field instructions for Part III

If your institution is liquidating its Fund, or if
your institution did not receive Federal capital for
the 1998-1999 award year but did make loans
from its Fund, you must complete the Identifying
Information, Certifications and Warning and the
Federal Perkins Loan Program sections of the
Fiscal Operations Report.

**FUND REPAYMENTS ARE DUE IF THERE
IS AN ACCUMULATION OF EXCESS
LIQUID CAPITAL IN THE FUND OR IF
YOUR INSTITUTION IS PRESENTLY IN THE
PROCESS OF LIQUIDATING THE FUND.**

An institution has excess liquid capital in its Loan
Fund if projected funds available for the 1999-
2000 award year (6/30/99 cash-on-hand, plus
projected collections, plus Federal and
institutional capital contributions, plus other
income), significantly exceed projected 1999-
2000 expenditures from the Loan Fund.

The return of excess liquid capital in the Fund
requires institutions to send payments of
\$100,000 or more to the National Finance Center
(NFC) via Treasury's Financial Communications
System (TFCS), Deposit Message Retrieval
System (DMRS), commonly known as FED
WIRE. For amounts that are less than \$100,000,
an institution may either use FEDWIRE or send
a check to the National Finance Center's
lockbox. Procedures for the use of this system
are contained in The Blue Book.

Prior year recoveries

If the institution took its entire Federal Perkins
Loan administrative cost allowance entitlement,
or a portion of its entitlement, from an FSEOG
or FWS allocation in a prior year, and the
institution recovered Federal Perkins Loan funds
in 1998-1999 that were issued to students in a
prior year, it must also reduce its Federal Perkins
Loan administrative cost allowance for that prior
year. The institution may follow one of two
options:

- a) Follow FSEOG/FWS procedures; or
- b) Make no adjustments to FSEOG or FWS prior year expenditures. Instead the institution may reduce the base amount on which the 1998-1999 Federal Perkins Loan administrative cost allowance is calculated. For example, if the institution lent \$30,000 in 1998-1999 and received \$1,000 in Federal Perkins Loan student refunds in 1998-1999 on loans in a prior year, the institution may enter \$29,000 in Part VI, Section B, field 2, and calculate its 1998-1999 administrative cost allowance on the basis of the lower amount. This results in a simpler method of reimbursing the Federal Government for an administrative cost allowance to which the institution was not entitled in a prior year.

Because the electronic FISAP software will automatically enter \$30,000 in Part VI for the example shown above, you will need to do this calculation separately. You may print a copy of Part VI as the software has calculated it and correct the required figures to keep for your records.

Section A. Fiscal Report (Cumulative) as of June 30, 1999

Field

1.1 Cash on hand and in depository

Column c. Report the total cash you had on hand and in depository on June 30, 1999. You may never report this figure as a negative. Expenditures that exceed the amount of cash on hand in the Loan Fund must be charged to an institutional capital contribution deposited into the Fund as of June 30, 1999.

1.2 COMPLETION OF THIS FIELD IS APPLICABLE DURING THE ELECTRONIC FISAP EDIT/VERIFICATION PROCESS ONLY.

When you are verifying Part III, Section A, of your Edit, report the total cash you had on hand and in depository as of October 31, 1999. You may never report this figure as a negative.

Expenditures that exceed the amount of cash on hand in the Loan Fund must be charged as an institutional capital contribution deposited into the Fund as of October 31, 1999.

2 Funds receivable from Federal Government

Column c. Report any portion of the allocation for the 1998-1999 award year that you requested from ED's Grants Administration Payment System (GAPS) on or before June 30, 1999, but did not deposit into the Fund by that date. You should never show a credit balance in this account. Do not report this figure as a negative amount.

3 Funds receivable from institution

Column c. Report the amount of the institutional capital contribution to maintain the minimum required cumulative matching ratio in the Fund as the result of any entry in field 2, column c. Do not report this figure as a negative amount. Do not report amounts "temporarily lent" to the Fund by your institution. (See the instruction for field 20 of Section A for further information.)

4 Funds advanced to students

Column b. Report the unduplicated CUMULATIVE number of borrowers who received their loans on or before June 30, 1999.

Column c. Report the CUMULATIVE net amount of the loans paid to borrowers plus any assessed late charges added to the principal through June 30, 1999.

NOTE: Any penalty or late charges that were assessed and added to the principal are thereby capitalized and CANNOT be subsequently waived, compromised or negotiated. For Part III reporting purposes, once the charges have been added to the principal they cease to exist as separate charges.

5 Loan principal collected

Column b. Report the unduplicated CUMULATIVE number of borrowers who made payments on their loans through June 30, 1999.

Column d. Report the CUMULATIVE loan principal amount collected from all sources through June 30, 1999.

6 Loan principal assigned to and accepted by the United States

Column b. Report the unduplicated CUMULATIVE number of borrowers whose loans were assigned to the Department of Education and officially accepted not later than June 30, 1999. For institutions in liquidation status, report borrowers whose assigned loans were NOT in default as well as those whose loans were in default.

Column d. Report the CUMULATIVE amount of loan principal outstanding that was assigned to the Department of Education and officially accepted not later than June 30, 1999. This amount must agree with Section C, Field 2, column d. Do not enter in Sections A and C any unpaid penalty/late charges or collection costs assessed to the borrower on any loans assigned to the Department of Education.

7 Loan principal canceled on loans prior to July 1, 1972 for Teaching/Military Service

Column b. Report the unduplicated CUMULATIVE number of borrowers with cancellations for teaching and military service on loans made prior to July 1, 1972.

Column d. Report the CUMULATIVE loan principal canceled on loans made prior to July 1, 1972 for teaching and military service.

8 Loan principal canceled for certain subject matter teaching service (math, science, foreign languages, bilingual education)

Column b. Report the unduplicated CUMULATIVE number of borrowers receiving cancellations for service as a full-time teacher of mathematics, science, foreign languages, bilingual education, or any other field of expertise that is determined by the state education agency to have a shortage of qualified teachers on loans made on or after July 23, 1992. Also report previously ineligible borrowers who received cancellation for teaching service performed on or after October 7, 1998 on any outstanding balance remaining on loans made prior to July 23, 1992.

Column d. Report the CUMULATIVE loan principal canceled.

9 Loan principal canceled for all other authorized teaching service

Column b. Report the unduplicated CUMULATIVE number of borrowers receiving cancellations for all other authorized teaching service on loans made July 1, 1972, and after.

Column d. Report the CUMULATIVE loan principal canceled on these loans.

This category includes cancellations for borrowers providing full-time teaching service in low income schools as designated by the Department of Education, BIA schools, Head Start, special education provided on or after July 23, 1992, and handicapped teaching services provided before July 23, 1992. Also report previously ineligible borrowers who received cancellation for special education and handicapped teaching service performed on or after October 7, 1998 on any outstanding balance remaining on loans made prior to July 23, 1992.

10 Loan principal canceled for military service on loans made July 1, 1972, and after

Column b. Report the unduplicated CUMULATIVE number of borrowers receiving this cancellation.

Column d. Report the CUMULATIVE loan

principal canceled for military service at the 12 % rate. Defense/Direct/Perkins Loan borrowers are entitled to cancellation of a minimum of 12 % of their loan up to a maximum of 50% of their loan for service in the U.S. Armed Forces in an area of hostilities or area of imminent danger, that qualifies for special pay under Section 310 of Title 37 of the United States Code. On September 19, 1990, the Persian Gulf area was declared an area of imminent danger by the Secretary of Defense. To qualify for this cancellation benefit, the borrower must have served in the designated area for a complete year.

11 Loan principal canceled for volunteer service

Column b. Report the unduplicated CUMULATIVE number of borrowers whose loans were canceled for service under the Peace Corps Act or the Domestic Volunteer Service Act of 1973.

Column d. Report the CUMULATIVE loan principal canceled for volunteer service.

12 Loan principal canceled for law enforcement and corrections officer service

Column b. Report the unduplicated CUMULATIVE number of borrowers receiving this cancellation.

Column d. Report the CUMULATIVE loan principal canceled for law enforcement/corrections officer service on loans made on or after November 29, 1990.

Also report previously ineligible borrowers who received cancellation for law enforcement and corrections officer service performed on or after October 7, 1998 on any outstanding balance remaining on loans made prior to November 29, 1990.

13 Loan principal canceled for child/family/early intervention service

Column b. Report the unduplicated CUMULATIVE number of borrowers receiving cancellation for service as full-

time employees of public or private nonprofit child or family service agencies or full-time qualified professional providers of early intervention services in public or other nonprofit programs under public supervision on loans made on or after July 23, 1992. Also report previously ineligible borrowers who received cancellation for child, family, and early intervention service performed on or after October 7, 1998 on any outstanding balance remaining on loans made prior to July 23, 1992.

Column d. Report the CUMULATIVE loan principal canceled.

14 Loan principal canceled for nurse/medical technician service

Column b. Report the unduplicated CUMULATIVE number of borrowers receiving cancellations for service as a full-time nurse or medical technician on loans made on or after July 23, 1992. Also report previously ineligible borrowers who received cancellation for nurse/medical technician service performed on or after October 7, 1998 on any outstanding balance remaining or loans made prior to July 23, 1992.

Column d. Report the CUMULATIVE loan principal canceled.

15 Loan principal canceled - death/disability

Column b. Report the unduplicated CUMULATIVE number of borrowers whose loans were canceled due to death or permanent and total disability.

Column d. Report the CUMULATIVE loan principal canceled due to death or permanent and total disability.

16 Loan principal canceled - bankruptcy

Column b. Report the unduplicated CUMULATIVE number of borrowers whose loans were canceled for legal discharge in bankruptcy.

Column d. Report the CUMULATIVE loan principal canceled for bankruptcy. If only a

portion of the debt has been discharged in bankruptcy, include the portion of the debt that has been discharged by the court.

17 Loan principal canceled - closed schools

Column b. Report the unduplicated number of borrowers whose loans were canceled because the borrower was unable to complete a program he or she was enrolled in due to closure of the institution, or one of its branches.

Column d. Report the cumulative cost of loan principal canceled for borrowers whose loans were discharged due to the closure of an institution, or one of its branches.

18 Loan principal adjustments - other

Column b. Report the unduplicated CUMULATIVE number of borrowers with loan principal adjustments for reasons that are not reported in fields 7 through 16; e.g., compromise, write-off (including write-offs of principal, late charges and collections) or other costs not specified in this report.

Column d. Report the CUMULATIVE amount of loan principal adjustments.

19 Federal Capital Contributions

Column d. Report the CUMULATIVE Federal capital contributions deposited into your Fund through June 30, 1999. Add any portion of your 1998-1999 award year allocation that you requested by June 30, 1999, but did not receive from GAPS by June 30, 1999. Do not include any FCC transferred to either the FWS or FSEOG programs.

The amount reported in this field MUST ALWAYS equal or exceed the amount reported for this field on last year's FISAP, unless last year's entry was incorrect.

20 Repayments of fund capital to Federal Government

Column c. Report the CUMULATIVE amount (Federal share) repaid to the Federal Government as distribution of

excess or liquidated fund capital through June 30, 1999. DO NOT reduce field 19 by this amount.

Do not include authorized administrative cost allowance withdrawals or your institutional share.

21 Institutional capital contributions

Column d. Report the CUMULATIVE institutional capital contributions deposited into your Fund through June 30, 1999. Include the institutional share of funds for any Federal funds requested by June 30, 1999, but not received by June 30, 1999.

Also include the amount of any short-term loan your institution made to the Loan Fund. Section 674.8(a)(7) of the regulations permits an institution to deposit "the proceeds of short-term no interest loans made to the Fund in anticipation of collections or receipt of FCC". These funds should be considered as additional ICC and reported here.

The amount reported in this field MUST ALWAYS equal or exceed the amount reported for this field on last year's FISAP, unless last year's entry was incorrect.

22 Repayments of fund capital to institution

Column c. Report the CUMULATIVE amount that the institution repaid to itself as distribution of excess or liquidated fund capital or as repayment for a short-term no-interest loan to the Fund (Section 674.8(a)(6)) through June 30, 1999. DO NOT reduce field 21 by this amount.

Do not include:

- authorized administrative cost allowance withdrawals, and/or
- Defense Loan teaching/military cancellation reimbursements.

23 Interest income on loans

Column d. Report the CUMULATIVE interest earned on loans through June 30,

1999.

This includes:

- interest collected;
- interest not collected because the interest was canceled;
- total amount of loan interest assigned to and accepted by the Department of Education in the Assignment Form ED 553, for which the institution has acceptance notices from the Department of Education dated prior to July 1, 1999; and

interest not collected because the account was written off, compromised, etc.

24 Other income

Column d. Report the CUMULATIVE income deposited into your Fund from all sources other than interest income on loans.

You must include any other earnings on assets of the Fund, including interest earnings on Fund assets deposited in interest-bearing accounts which are net of bank charges, or deposits of certain late charges revenue. Also, enter any penalty or late charges added to principal that were included in field 4.

If a borrower has overpaid the amount due and this amount is in the Fund as of 6/30/99, include the amount of the overpayment.

25 Reimbursements to the Fund of amounts canceled on loans made July 1, 1972, and after

Column d. Report the CUMULATIVE reimbursements of canceled principal and interest paid to your institution by the Department of Education on loans made on July 1, 1972, and after.

This amount must be deposited into the institution's Fund.

Beginning with the 1993-94 award year, institutions eligible for reimbursements for

loans made on or after July 1, 1972, no longer received paper checks issued by the U.S. Treasury Department. All payments are made by electronic fund transfer and are deposited directly into the bank account that your institution designated.

26.1 Administrative cost allowance

Column a. Report the CUMULATIVE amount withdrawn from the Fund for administrative cost allowance.

26.2 Collection costs

Column a. Report the CUMULATIVE collection costs allowed by regulation which are not included in field 26.1, e.g., address search, credit bureau, attorneys fees, court costs, etc. DO NOT report any costs paid by the borrower.

26.3 Administrative cost allowance and collection costs (control)

Column c. The sum of fields 26.1(a) + 26.2(a).

NOTE ABOUT CANCELLATIONS:
FOR LOANS MADE ON OR AFTER 7/1/1993, NO INTEREST ACCRUES DURING THE QUALIFYING PERIOD OF DEFERMENT. THEREFORE, THERE IS NO INTEREST TO CANCEL ONCE THE BORROWER COMPLETES THE QUALIFYING SERVICE.

27 Cost of loan principal and interest canceled for teaching/military service on loans made prior to July 1, 1972

Column c. Report the CUMULATIVE loan principal and interest canceled for all teaching/military service on loans made prior to July 1, 1972. The principal on this field is an offset for field 7 and the interest is a partial offset for field 23.

28 Cost of loan principal and interest canceled for certain subject matter teaching service (Math, Science, Foreign Languages, Bilingual Education)

Column c. Report the CUMULATIVE cost

of loan principal and interest canceled for certain subject matter teaching service (math, science, foreign languages, bilingual education, or other fields of expertise where the state educational agency determines there is a shortage of qualified teachers) on loans made on or after July 23, 1992. The principal in this field is an offset for field 8, and the interest is a partial offset for field 23.

Also report cumulative cost of loan principal and interest canceled for borrowers who performed subject matter teacher service on or after October 7, 1998 on any outstanding balance remaining on loans made prior to July 23, 1992.

29 Cost of loan principal and interest canceled for all other authorized teaching service

Column c. Report the CUMULATIVE loan principal and interest canceled for all other authorized teaching service on loans made July 1, 1972, and after. (The principal in this field is an offset for field 9, and the interest is a partial offset for field 23).

Also report cumulative cost of loan principal and interest canceled for borrowers who performed handicapped teacher service on or after October 7, 1998 on any outstanding balance remaining on loans made prior to July 23, 1992.

30 Cost of loan principal and interest canceled for military service loans made July 1, 1972, and after

Column c. Report the CUMULATIVE loan principal and interest canceled for military service on loans made July 1, 1972, and after. The principal in this field is an offset for field 10 and the interest is a partial offset for field 23.

31 Cost of loan principal and interest canceled because of volunteer service in the Peace Corps or under the Domestic Volunteer Service Act of 1973

Column c. Report the CUMULATIVE loan principal and interest canceled for volunteer

service. The principal in this field is an offset for field 11 and the interest is a partial offset for field 23.

32 Cost of loan principal and interest canceled for law enforcement and corrections officer service

Column c. Report the CUMULATIVE loan principal and interest canceled for law enforcement and corrections officer service on loans made on after November 29, 1990. The principal in this field is an offset for field 12 and the interest is a partial offset for field 23.

Also report cumulative cost of loan principal and interest cancelled for borrowers who performed law enforcement and corrections officer service on or after October 7, 1998 on any outstanding balance remaining on loans made prior to November 29, 1990.

33 Cost of loan principal and interest canceled for child/family and early intervention service

Column c. Report the CUMULATIVE cost of loan principal and interest canceled for child/family and early intervention service on loans made on or after July 23, 1992. The principal in this field is an offset for field 13, and the interest is a partial offset for field 23.

Also report cumulative cost of loan principal canceled for borrowers who performed child/family and early intervention service on or after October 7, 1998 on any outstanding balance remaining on loans made prior to July 23, 1992.

34 Cost of loan principal and interest canceled for nurse and medical technician service

Column c. Report the CUMULATIVE cost of the loan principal and interest canceled for nurse and medical technician service on loans made on or after July 23, 1992. The principal in this field is an offset for field 14, and the interest is a partial offset for field 23.

Also report the cumulative cost of loan principal and interest canceled for borrowers who performed nurse and medical technician service on or after October 7, 1998 on any outstanding balance remaining on loans made prior to July 23, 1992.

35 Cost of loan principal and interest canceled because of death/disability

Column c. Report the CUMULATIVE loan principal and interest canceled because of death or permanent and total disability. The principal in this field is an offset for field 15 and interest is a partial offset for field 23.

36 Cost for loan principal and interest canceled because of bankruptcy

Column c. Report the CUMULATIVE loan principal and interest canceled because of bankruptcy. If only a portion of the debt has been discharged in bankruptcy, include the portion of the debt that has been discharged by the court. The principal in this field is an offset for field 16 and the interest is a partial offset for field 23.

37 Cost of loan principal and interest assigned to and accepted by the United States

Column c. Report the CUMULATIVE amount of loan principal outstanding that was assigned to the Department of Education and officially accepted not later than June 30, 1999. For institutions in liquidation status, report borrowers whose assigned loans were NOT in default as well as those loans that were in default. The principal in this field is an offset for field 6 and the interest is a partial offset for field 23.

38 Cost of loan principal and interest canceled for loans discharged due to closed schools

Column c. Report the cumulative cost of loan principal and interest canceled for borrowers whose loans were discharged due to the closure of an institution.

39 Other costs or losses

Column c. Report all other CUMULATIVE costs or losses of principal and interest not covered in fields 26.3 through 37; e.g., compromise, write-off, etc. The principal in this field is an offset for field 18 and the interest is a partial offset for field 23.

40 Total debits and credits

Column c is the sum of all of the entries in column c, fields 1 through 38.

Column d is the sum of all of the entries in column d, fields 5 through 25.

Total debits must equal total credits.

Section B. Fund Activity (Annual) During the 1998-1999 Award Year

Field

1 Final adjusted Federal capital contribution authorization

Report your original Federal capital contribution (authorized in your first allocation letter for the 1998-1999 award year), plus any supplemental award for this period, minus any Federal Perkins Loan allocated funds for the 1998-1999 award year that you returned to the Federal Government prior to September 30, 1999.

2 FCC transferred to FSEOG AND FWS

Report the Federal capital contribution amount that was transferred to and spent in FSEOG (field 2a) and FWS (field 2b). The amount in field 2a must be the same as the entry in field 3 of Part IV and the amount in field 2b must be the same as the entry in field 2 of Part V. **The sum of field 2a plus field 2b may not exceed 25% of your original plus any supplemental FCC allocations for 1998-1999.**

NOTE: Any Federal Perkins FCC transferred to FSEOG or FWS must be entered in GAPS as an expenditure against the program authorization from which the funds were taken (Perkins), not the

authorization for the program into which the funds were transferred and used.

3 Amount of final adjusted Federal capital contribution for 1998-1999 not requested from GAPS by June 30, 1999

Report the amount of your final adjusted Federal capital contribution for the 1998-1999 award year that you did not request from GAPS on or before June 30, 1999. You may not request 1998-1999 Federal Perkins Loan Federal funds from GAPS after June 30, 1999. DO NOT report any FCC for the 1998-1999 award year that you returned to the Federal Government prior to September 30, 1999.

GAPS will deduct the amount entered in this field from the funds available in your grantee account.

NOTE: A penalty will be assessed against your institution's 2000-2001 Federal Perkins Loan allocation if the amount entered here plus any other amounts you previously returned to the Department for 1998-1999 is more than 10% of your combined 1998-1999 initial plus supplemental allocations. The penalty consists of a reduction in your 2000-2001 Federal Perkins allocation by an amount equal to the total amount that you did not spend in 1998-1999.

4 ICC deposited into the loan Fund

Report the amount of institutional capital contribution deposited into the Fund between July 1, 1998, and June 30, 1999.

The ICC must be at least one third of the net FCC (after any transfers to FSEOG and FWS), and must be deposited into the Fund between July 1, 1998, and June 30, 1999. This amount must be deposited into the Loan Fund during every award year regardless of any overmatch situation that an institution may have been in during a prior award year.

5 Loans advanced to students from the loan Fund during the 1998-1999 award year

Report the net amount of the loans paid to borrowers from the Fund. This figure is the total amount of loans paid to borrowers minus any refunds or adjustments (the borrower dropped out of school and received a refund or made a pre-payment) to 1998-1999 loans. Refunds on prior year notes should not be reported here.

6 Administrative cost allowance claimed for the 1998-1999 award year

Report the amount withdrawn from the Fund for an administrative cost allowance. This amount must be the same as the amount in Part VI, Section B, field 23a. This amount could include funds claimed for any or all of these three programs.

7 Total principal and interest repaid by the borrowers from all sources during the 1998-1999 award year

Column a. Count the unduplicated number of borrowers who made payments on their loans in the 1998-1999 award year.

Column b. Report the amount of principal and interest repaid by borrowers during the 1998-1999 award year. Include any portion of the repayment that any collection firm(s) kept. Also include any penalty charges collected or late charges which were deposited into the Fund. Be sure to include amounts received as student repayments from ALL sources.

Do not include:

collection firm charges over and above the principal and interest due as collection cost

or

interest received from any investments.

8 Name and title of loan officer/offices

Provide the name, title, and telephone number of any loan officer responsible for administering Federal Perkins Loan Program collections (other than the Financial Aid Administrator or Chief Fiscal

Officer identified in Part I, Section B).

Section C. Cumulative Repayment Information as of June 30, 1999

This section is an analysis of the repayment status for all past and current National Defense/Direct Student Loan and Federal Perkins Loan borrowers as of June 30, 1999 at your institution. Count the number of borrowers, not the number of loans made. In fields 1 through 5.4, each borrower should be counted only once.

When a borrower has more than one loan and falls into more than one category in Section C, the dollars should be reported in the appropriate fields. However, the borrower should be reported only once in column b of the field for the loan where the borrower's principal amount outstanding is the greatest. (In column b the sum of fields 1, 2, 3, 4, 5.1, 5.2, 5.3, and 5.4 equals field 4, column b of Part III, Section A of the Fiscal Operations Report.)

Instructions for column entries in all applicable fields are as follows:

Column b. Report the unduplicated borrowers for each field as of June 30, 1999.

Column c. Report the total amount lent to borrowers in column b.

Column d. Report the principal amount outstanding on all loans as of June 30, 1999. This is that portion of the amount lent that was not repaid or canceled as of June 30, 1999.

Field

1.1 Borrowers whose loans are fully retired

Column b. Report all past borrowers who have completely repaid or canceled their loans as of June 30, 1999, including any defaulted loans with balances less than \$5 retired after being written off. Also include any loans discharged because the borrower was unable to complete a program he or she was enrolled in due to closure of the institution. Include any borrowers whose loans your institution purchased because they were deemed unenforceable by the

Department of Education and rejected for assignment.

Column c. Report the total dollar amount lent to those same borrowers.

1.2 Loans that have been purchased.

Column a. Of the loans included in 1.1 as fully retired, report in column a the outstanding principal balance, all interest due, and any collection fees due on all loans you submitted for assignment that were not accepted, and for which your institution reimbursed the Fund. This entry will be used for liquidation purposes.

Before an institution can be considered as having a fully liquidated Perkins Loan portfolio, all loans with a principal amount outstanding remaining at the institution must either be assigned to the Department or purchased by the institution. The information reported here will permit ED to make this determination. The Perkins Liquidation Procedures can be found in Dear Colleague letter CB-98-11.

2 Borrowers whose loans were assigned to and officially accepted by the Department of Education as of June 30, 1999.

Column b. Report the unduplicated CUMULATIVE number of borrowers whose loans were assigned to the Department of Education and officially accepted by June 30, 1999. For institutions in liquidation status, report borrowers whose assigned loans were NOT in default as well as those whose loans were in default.

This entry must agree with field 6, column b, of Part III, Section A, Fiscal Operations Report.

Column c. Report the total amount lent to those same borrowers.

Column d. Report the total principal amount outstanding when the loans were assigned to and accepted by the Department of Education. This entry must agree with

field 6, column d, of Part III, Section A, Fiscal Operations Report. Do NOT include any penalty/late charges assigned to the Department. Any payment your institution might have received from these borrowers subsequent to the Department's acceptance of the borrower's assigned loan is not to be reflected in this report. Such payments must be sent directly to:

National Payment Center
P.O. Box 4169-Perkins Loan (NDSL)
Greenville, Texas 75403-4169

3 Total borrowers not in repayment status

Column b. Report the borrowers attending institutions of postsecondary education at least half-time. This includes those students attending your institution and those who have filed for student deferments from other institutions. It includes those whose grace periods have expired as well as those who have not used their first grace period.

Report the borrowers who were in their first grace period. This first grace period is in three categories:

for loans made before October 1, 1980, a grace period of 9 consecutive months, starting from the date the borrower ceased to be at least a half-time student at an institution of postsecondary education.

for loans made on or after October 1, 1980 but before July 1, 1987, a grace period of 6 consecutive months, starting from the date the borrower ceased to be at least a half-time student at an institution of postsecondary education.

for loans made on or after July 1, 1987, a grace period of 9 consecutive months, starting from the date the borrower ceased to be at least a half-time student at an institution of postsecondary education. Review Section 674.32 of the regulations for terms relevant to less than half-time borrowers.

For borrowers in deferment and other grace

periods, report those who attained deferment in accordance with the governing regulations. For loans made on or after October 1, 1980, a second grace period of 6 consecutive months follows the completion of a deferment period for study, service, or disability.

Column d. Report the principal amount outstanding on these loans.

4 Borrowers on schedule in repayment status

Column b. Report the borrowers making loan repayments on schedule.

Column d. Report the total principal amount outstanding on these loans.

5.1 IN DEFAULT less than 240 days (monthly installments) or 270 days (other installments)

Column b. Report the borrowers whose loans are in default less than 240 days if paying monthly installments and less than 270 days if paying less frequently than monthly installments.

Column c. Report the principal amount lent to those borrowers.

Column d. Report the principal amount outstanding on those loans.

5.2 IN DEFAULT 240 days or more (monthly installments) or 270 days or more (other installments), up to 2 years

Column b. Report the borrowers whose loans are in default 240 days, up to 2 years, if paying monthly installments and 270 days, up to 2 years, if paying less frequently than monthly installments.

Column c. Report the principal amount lent to those borrowers.

Column d. Report the principal amount outstanding on those loans.

5.3 IN DEFAULT more than 2 years, up to 5 years

Column b. Report the borrowers whose loans are in default more than 2 years, up to 5 years.

Column c. Report the principal amount lent to these borrowers.

Column d. Report the principal amount outstanding on those loans.

5.4 IN DEFAULT more than 5 years

Column b. Report the borrowers whose loans are in default more than 5 years.

Column c. Report the principal amount lent to these borrowers.

Column d. Report the principal amount outstanding on those loans.

Please note: All assigned notes that have been rejected by the Department of Education and returned to you, or for which you received an acceptance letter from the Department of Education dated after June 30, 1999, must be counted in the appropriate default category, according to the oldest payment in default, and may not be included in either field 2 of this Section, or in Section A, field 6.

Cohort Default Rate

For the purpose of calculating the cohort default rate:

A borrower has entered repayment the day after the borrower's initial grace period ended or the day the borrower waived the initial grace period. This date does not change if a deferment or a cancellation is granted after the borrower has entered repayment.

A loan is in default if the borrower failed to make an installment payment when it is due or to comply with the other terms of the promissory note, and this situation had existed for at least 240 days for loans with monthly installments or at least 270 days for other loans.

A loan is still considered to be in default if a payment is made by the institution, its owner, agency, contractor, employee, or any other entity or individual affiliated with the institution, in order to avoid default by the borrower.

A loan is not considered to be in default only if the borrower has made six voluntary consecutive payments, has voluntarily made all payments currently due, repaid the loan in full, rehabilitated or canceled the loan, or received a deferment or forbearance on the loan based on a condition that began prior to the loan becoming 240 days past due.

A loan that has been assigned to the Department of Education is still considered as part of the cohort default rate calculation.

Section D. 30 or more borrowers

If your institution had more than 30 borrowers who entered repayment in the 1997-98 award year should mark the YES box and complete fields 1.1 through 1.3.

Institutions with 30 or more borrowers who entered repayment in the 1997-1998 award year (July 1, 1997 to June 30, 1998):

- 1.1 Enter the number of borrowers who entered repayment anytime from July 1, 1997 to June 30, 1998.
- 1.2 Of the number of borrowers who entered repayment in 1997-1998, enter the number with loans in default by June 30, 1999.
- 1.3 Divide the number of borrowers in field 1.2 by the number of borrowers in field 1.1 and multiply by 100 to calculate your cohort default rate.

Section E. Less than 30 borrowers

If your institution had less than 30 borrowers who entered repayment in the 1997-1998 award year, mark the NO box and complete fields 2.1 through 2.5.

Institutions with less than 30 borrowers who entered repayment in the 1997-1998 award year (July 1, 1997 to June 30, 1998):

- 2.1(a) Enter the number of borrowers who entered repayment anytime from July 1, 1995 to June 30, 1996.
- 2.1(b) Enter the number of borrowers who entered repayment anytime from July 1, 1996 to June 30, 1997.
- 2.1(c) Enter the number of borrowers who entered repayment anytime from July 1, 1997 to June 30, 1998.
- 2.2(a) Of the total number of borrowers in field 2.1(a), enter the number in default by June 30, 1997.
- 2.2(b) Of the total number of borrowers in field 2.1(b), enter the number in default by June 30, 1998.
- 2.2(c) Of the total number of borrowers in field 2.1(c), enter the number in default by June 30, 1999.
- 2.3 Enter the total number of borrowers who entered repayment during the 1995-1996, 1996-1997, and 1997-1998 award years (sum of items 2.1(a) + 2.1(b) + 2.1(c)).
- 2.4 Enter the total number of borrowers with loans in default by June 30, 1997, June 30, 1998, and June 30, 1999 (sum of items 2.2(a) + 2.2(b) + 2.2(c)).
- 2.5 Divide the number of borrowers in field 2.4 by the total number of borrowers in field 2.3 and multiply by 100 to calculate your cohort default rate.

Instructions for Part IV: Federal Supplemental Educational Opportunity Grant Program (FSEOG)

Who must complete Part IV?

You must complete Part IV if your institution received FSEOG Federal funds for 1998-1999.

Field-by-field instructions for Part IV

Section A. Federal Funds Authorized for FSEOG

Use this section to report your authorization and any changes.

Field

1 Final adjusted FSEOG authorization

Report the amount of your original authorization (your first allocation letter for Award Year July 1, 1998 through June 30, 1999), plus any supplemental authorization you receive for the FSEOG Program, minus any FSEOG funds you returned to the Federal government from your 1998-1999 award year allocation prior to September 30, 1999.

Section B. Federal Funds Available for FSEOG Expenditures

Use this section to calculate the Federal funds that you had available for FSEOG expenditures.

2 FWS funds transferred to and spent in FSEOG

If you transferred funds from your FWS allocation to your FSEOG Program, enter the amount that you transferred. You must have spent the amount in the FSEOG Program. Any amount you transferred from FWS and did not spend in FSEOG, you must return to FWS. The maximum amount you may transfer from FWS to FSEOG is 25% of the sum of your 1998-1999 FWS original and supplemental allocations. The amount in this field must be the same as the entry on field 3 of Part V.

3 Federal Perkins FCC funds transferred to and spent in FSEOG

If you transferred funds from your Federal Perkins FCC allocation to your FSEOG Program, enter the amount that you transferred. You must have spent the amount in the FSEOG Program. Any amount you transferred from your Federal Perkins FCC and did not spend in FSEOG, you must return to the Federal Perkins Loan Program. The total amount transferred to the FSEOG and/or the FWS Programs may not exceed 25% of the sum of your 1998-1999 Federal Perkins original, and supplemental FCC allocations. The amount in this field must be the same as the entry on field 2(a) of Part III, Section B.

4 1999-2000 funds carried back and spent in 1998-1999

Report any amount of your 1999-2000 FSEOG allocation that was carried back and spent in award year 1998-1999. The maximum amount you may carry back is 10% of the sum of your 1999-2000 original and supplemental FSEOG allocations.

5 Additional 1999-2000 funds carried back and spent for summer enrollment through June 30, 1999

If you report in field 4 the maximum 10% carry-back amount, report any additional amount of your 1999-2000 FSEOG allocation that was carried back and spent for summer enrollment through June 30, 1999.

6 1998-1999 funds carried forward to be spent in 1999-2000

Report any amount of your FSEOG 1998-1999 allocation that was carried forward to spend in award year 1999-2000. The maximum amount you may carry forward is 10% of the sum of your 1998-1999 original and supplemental FSEOG allocations.

NOTE: Any FSEOG funds carried forward or carried back between awards years must be entered in GAPS as an expenditure against the FSEOG authorization from which the funds were taken not the authorization for the award year in which funds were used.

7 Federal funds available for FSEOG

Field 7 equals field 1 plus field 2 plus field 3 plus field 4 plus field 5 minus field 6.

Section C. Funds to FSEOG Recipients

Do not include in either field 8 or 9 any non-Federal funds in excess of the required 25% non-Federal share.

8 Total funds to FSEOG recipients

The amount reported must consist of the required 25% non-Federal and the 75% Federal share unless the institution has been granted a waiver.

Field 8 equals the sum of field 9 plus field 10.

9 Non-Federal share of funds to FSEOG recipients

In order for the non-Federal funds to be reported for this field, the recipients of these monies must have also received some Federal funds from the FSEOG Program in the 1998-1999 award year. Field 9 must be 25% of field 8, unless the institution had an approved waiver for 1998-1999. Do not enter any institutional expenditure in excess of the 25% requirement.

The institution is required to provide the non-Federal share from its own resources which may include institutional grants and scholarships, tuition or fee waivers, state scholarships, or foundation or other charitable organization funds. A full discussion of the three methods of making the non-Federal share appears in Chapter 8 (pages 8-11 to 8-13) of the 1999-2000 Federal Student Financial Aid Handbook.

- a. If some or all of your non-Federal share consisted of a cash outlay by your institution, enter the amount contributed.

- b. If some or all of your non-Federal share consisted of one of the other types of institutional resources listed above, enter the amount designated.

Field 9 equals field 9a plus field 9b.

Section D. Federal Funds Spent for FSEOG Program

Use this section to report how you spent the Federal funds available.

10 Federal share of funds to FSEOG recipients

Report the amount of FSEOG Federal funds expended for students, plus any FWS Federal funds and/or Federal Perkins FCC funds transferred into FSEOG and used for student grants. Field 10 must be equal to 75% of field 8, unless the institution has an approved waiver for 1998-1999.

11 Administrative cost allowance claimed

Use Part VI, Section B, Steps 1 and 2, to calculate your administrative cost allowance. In Part VI, Section B, Step 3, report how much administrative cost allowance you claimed in the FSEOG Program. This amount could include funds claimed for any or all of these three programs.

12 Federal funds spent for FSEOG

Field 12 equals field 10 plus field 11.

Section E. Use of FSEOG Authorization

Use this section to derive your unexpended (if any) and expended authorization amounts.

13 Expended FSEOG authorization

Field 13 equals field 6 plus 12 minus field 2 minus field 3 minus field 4 minus field 5.

The amount in field 13 must agree with your final FSEOG expenditures reported in GAPS.

14 Unexpended FSEOG authorization

Field 14 equals field 1 minus field 13. **This amount will ultimately be deducted from your GAPS grantee account.**

An excess expenditure must be charged to institutional funds; however, the excess institutional share must not be entered in this report.

NOTE: A penalty will be assessed against your institution's 2000-2001 FSEOG allocation if this amount plus any other amounts you previously returned to ED are more than 10% of your combined 1998-1999 initial plus supplemental allocations. The penalty consists of a reduction in your 2000-2001 FSEOG allocation by an amount equal to the total amount that you did not spend in 1998-1999.

Section F. Miscellaneous Information

15 Prior year recoveries for FSEOG or FWS Programs

a. What are prior year recoveries?

Prior year recoveries are the Federal share of any monies students have returned to the institution during the period July 1, 1998 through June 30, 1999, that were disbursed to the student prior to July 1, 1998, or any recoveries you failed to report on last year's FISAP. These funds are generally the result of an overaward or an overpayment that could have occurred because of (1) an incorrect need analysis, (2) an erroneous disbursement, or (3) a refund.

b. How should an institution process a prior year recovery?

These instructions do not apply to Audit and Program Review findings. Any liability payments resulting from an audit or program review should not be included. You will be provided with specific payment instructions in those cases.

An institution is no longer required to follow separate procedures for processing open award and closed award prior year recoveries. The following process should be used to report all prior year recoveries:

1. If you received FSEOG and/or FWS funds from students in award year 1998-1999 that were disbursed in prior award years, enter the Federal share next to the corresponding award year.
2. Adjust the award expenditures and administrative cost allowance for the year the award was made on the GAPS report.

All prior year recoveries reported to the Department of Education will be deobligated for the appropriate award(s).

The following should never be reported as Prior Year Recoveries :

1998-1999 authorizations for FSEOG or FWS,

1998-1999 funds spent for FSEOG or FWS, or

1998-1999 unexpended amounts for FSEOG or FWS.

Review this report to determine if the Prior Year Recoveries amount equals one of the above. If it does, then a problem exists and you need to review the accuracy of all amounts included in the Prior Year Recoveries entry.

Instructions for Part V: Federal Work-Study Program (FWS)

Who must complete Part V?

You must complete Part V if your institution received FWS funds for award year 1998-1999.

Field-by-field instructions for Part V

Section A. Federal Funds Authorized for FWS

Use this section to report your authorization and any changes.

Field

1 Final adjusted FWS authorization

Report the amount of your original authorization (your first allocation letter for award year July 1, 1998, through June 30, 1999), plus any supplemental authorization you received for the FWS Program, minus any FWS funds you returned to the Federal Government from your 1998-1999 award year allocation(s) prior to September 30, 1999.

Section B. Federal Funds Available for FWS Expenditures

Use this section to calculate the funds that you had available for FWS expenditures.

2 Federal Perkins FCC funds transferred to and spent in FWS

If you transferred funds from your Federal Perkins FCC allocation to your FWS Program, enter the amount that you transferred. You must have spent this amount in the FWS Program. Any amount you transferred from your Federal Perkins FCC and did not spend in FWS, you must return to the Federal Perkins Loan Program. The total amount transferred to the FSEOG and/or FWS Programs may not exceed 25% of the sum of your 1998-1999 Federal Perkins FCC original and supplemental allocations. The amount of this field must be the same as the

entry on field 2(b) of Part III, Section B.

3 FWS funds transferred to and spent in FSEOG

If you transferred funds from FWS to FSEOG, enter the amount that you transferred. You must have spent this amount in the FSEOG Program. Any amount you transferred from FWS and did not spend in FSEOG, you must return to FWS. The maximum amount you may transfer from FWS to FSEOG is 25% of the sum of your 1998-1999 FWS original and supplemental allocations. The amount of this field must be the same as the entry on field 2 of Part IV.

NOTE: Any FWS transferred to FSEOG must be entered in your institution's GAPS Report as an expenditure against the program authorization from which the funds were taken (FWS), not the authorization for the program into which the funds were transferred and used.

4 1999-2000 funds carried back and spent in 1998-1999

Report any amount of your 1999-2000 FWS allocation that was carried back and spent in award year 1998-1999. The maximum amount you may carry back is 10% of the sum of your 1999-2000 original and supplemental FWS allocations.

5 Additional 1999-2000 funds carried back for 1999 summer employment

If you report in field 4 above the maximum 10% carry-back amount, report any additional amount of your 1999-2000 FWS allocation that was carried back and spent for payments to students for wages earned on or after May 15, 1999, but prior to the beginning of the 1999-2000 award year on July 1, 1999.

6 1997-1998 funds carried forward and spent in 1998-1999

Report any amount of your 1997-1998 FWS allocation that was carried forward and spent in award year 1998-1999. The maximum amount you may carry forward to spend is 10% of the sum of your 1997-1998 original and supplemental FWS allocations. If this entry is different from the one in field 7 of your 1997-1998 FWS Report, you must also send to us a revised 1997-1998 FWS Report.

7 1998-1999 funds carried forward to be spent in 1999-2000

Report any amount of your 1998-1999 FWS allocation that was carried forward to be spent in the 1999-2000 award year. The maximum amount you may carry forward is 10% of the sum of your 1998-1999 original and supplemental FWS allocations.

8 1998-1999 funds carried back and spent in 1997-1998

Report any amount of your 1998-1999 FWS allocation that was carried back and spent in award year 1997-1998. The maximum amount you may carry back is 10% of the sum of your 1998-1999 original and supplemental FWS allocations.

If this entry is different from the one in field 4 of your 1997-1998 FWS Report, you must also send us a revised 1997-1998 FWS Report.

9 Additional 1998-1999 funds carried back for 1998 summer employment

If you report in field 8 above the maximum 10% carry-back amount, report any additional amount of your 1998-1999 FWS allocation that was carried back and spent for payments to students for wages earned on or after May 15, 1998, but prior to the beginning of the 1998-1999 award year on July 1, 1998.

If this entry is different from the one in field 5 of your 1997-1998 FWS Report, you must also send us a revised 1997-1998 FWS Report.

NOTE: Any FWS funds carried forward or carried back between award years must be entered in your institution's GAPS Report as

an expenditure against the FWS authorization for the award year from which the funds were taken not the authorization for the award year in which funds were used.

10 Total funds available

Field 10 equals field 1 plus field 2 minus field 3 plus field 4 plus field 5 plus field 6 minus field 7 minus field 8 minus field 9.

Section C. Total Compensation for FWS

Use this section to report the total FWS compensation earned in award year 1998-1999, both Federal and institutional shares. This is gross compensation including tax and other withholdings.

11 Total earned compensation for FWS Program

In field 11 report the total earned compensation for all students for the 1998-1999 award year. This includes the compensation earned by FWS reading tutors of children and tutors in family literacy programs even if the Federal share was above the 75 percent rate. The amount of FWS earned compensation paid to FWS reading tutors of children and tutors in family literacy programs employed on-campus must be reported in field 11a, and in field 11b if earned off-campus at public or private non-profit agencies.

- a. Report the earned compensation for on-campus employment.
- b. Report the earned compensation for off-campus employment at public or private/non-profit agencies.
- c. Report the earned compensation for off-campus employment in the private for-profit sector.

Field 11 equals the sum of fields 11(a) + 11(b) + 11(c).

12 Total institutional share of earned compensation

Report the total institutional share of all earned compensation. The minimum

required institutional share varies by type of employment and is the complement of each of the Federal share percentages reflected in field 13. The institutional share includes the amounts contributed by your institution, as well as the amount contributed by any off-campus employer. If the institutional share of student compensation was paid in-kind (examples include tuition waiver, room and board, etc.), you must convert the in-kind compensation to cash value.

Field 12 must equal the difference between fields 11 and 13.

Section D. Funds Spent from Federal Share of FWS

13 Total Federal share of FWS earned compensation

Report in field 13 the Federal share of earned compensation paid to all students for the 1998-1999 award year. This includes the Federal share of earned compensation paid to FWS reading tutors of children and tutors in family literacy programs even though the Federal share exceeds the 75 percent rate. Further, the Federal share of earned compensation paid to FWS reading tutors of children and tutors in family literacy programs must be reported in field 13a for on-campus employment or off-campus employment at public or private non-profit agencies, even though the Federal share exceeds the 75 percent rate.

If the institution has an approved waiver of the institutional share for 1998-1999 as an institution designated as eligible for Title III, the entry in field 13(a) may also exceed the maximum 75% Federal share. The entry in field 13(b) may never exceed 50%.

Report in field 13 the Federal share of FWS total earned compensation.

- a. Report the Federal share of compensation earned at the maximum 75% rate: on-campus employment or off-campus employment at public or private non-profit agencies, including community service employment.

- b. Report the Federal share of compensation earned off-campus in private (for profit) sector employment at a maximum Federal share of 50%. This amount may not exceed 25% of the sum of your 1998-1999 original plus supplemental authorizations.

Field 13 equals the sum of fields 13(a) + 13(b).

14 Administrative cost allowance claimed

Use Part VI, Section B, Steps 1 and 2, to calculate your administrative cost allowance.

In Part VI, Section B, Step 3, report how much administrative cost allowance you claimed in the FWS Program. The amount on field 14 must be the same as the amount in Part VI, Section B, field 23(c). This amount could include funds claimed for any or all of these three programs.

15 Federal share of Job Location and Development Program expenditures

Report the Federal share of the amount spent for the Job Location and Development Program. This amount must be the lesser of \$50,000 or 10% of the sum of your 1998-1999 original and supplemental FWS allocations.

16 Total Federal funds spent for FWS

Field 16 equals the sum of fields 13 through 15.

Section E. Use of Federal FWS Authorization

Use this section to derive your expended and unexpended authorization amounts.

17 Expended FWS authorization

Field 17 is fields 3 plus 7 plus 8 plus 9 plus 16 minus fields 2 plus 4 plus 5 plus 6. The amount on field 17 must agree with your final FWS expenditures reported to GAPS Report. It cannot exceed your authorization on field 1.

18 Unexpended FWS authorization

Field 18 equals field 1 minus field 17. This

amount will ultimately be deducted from your GAPS grantee account.

Any calculation that results in a negative figure will be converted to zero. An excess expenditure must be charged to the institutional share of earned compensation.

NOTE: A penalty will be assessed against your institution's 2000-2001 FWS allocation if this amount plus any other amounts you previously returned to ED are more than 10% of your combined 1998-1999 initial plus supplemental allocations. The penalty consists of a reduction in your 2000-2001 FWS allocation by an amount equal to the total amount that you did not spend in 1998-1999.

Section F. Miscellaneous Information

19 Prior year recoveries

If you received FWS funds from students in award year 1998-1999 that were disbursed in prior award years, enter the Federal share and the corresponding award year on these fields.

Please Note: If you had prior year recoveries, you must do more than report the amount on field 19. You must adjust the award expenditures for the year the award was made. Please see the instructions for field 15 of Part IV for the FSEOG Program, and follow those same procedures for the FWS Program.

Section G. Information About the Job Location and Development Program (JLD)

20 Total expenditures for the Job Location and Development Program

Report the total amount spent (Federal and institutional) to establish, maintain, or expand the Job Location and Development Program.

21 Institutional expenditures for the JLD Program

Report the total amount of institutional funds spent. If your expenditures for the JLD Program were paid in kind (examples include

staff salaries, related travel, printing and mailing costs, etc.), convert those contributions to their cash value. If you used Federal funds to operate the JLD Program, the amount reported on this field must be at least 20% of the amount reported on field 20.

22 Number of students for whom jobs were located or developed

Report the number of students for whom you developed or located jobs through the JLD Program, and who had earnings through JLD placement in award year 1998-1999.

23 Total earnings

Report the total amount earned in 1998-1999 by the students entered on field 22.

If you do not know their actual wages, report a reasonable estimate.

Section H. Information About FWS Community Service Activities

Section H will be used to determine whether your institution met the minimum 5 percent community service expenditure requirement for the 1998-1999 award year. If your institution also received supplemental FWS Federal funds, this section will be used to determine whether your institution used the supplemental funds only to pay students in community service jobs. The minimum amount that was needed to satisfy these requirements is determined by taking 5% of your original plus supplemental FWS allocations or 100% of your supplemental allocation, whichever is greater.

Note: Effective October 1, 1998, students may receive FWS compensation while training for community service jobs, and for commuting expenses to community service jobs as long as the costs are deemed reasonable.

24 Number of students in community service employment

Report the number of students employed in FWS jobs during the 1998-1999 award year that met the definition of community service in the Higher Education Act of 1965, as amended, Part C, Section 441(c).

25 Federal share of community service earned compensation

Enter the Federal share of compensation earned in FWS community service jobs during the 1998-1999 award year.

This amount must not exceed 75% of the total earned compensation for community service (the sum of fields 25 and 26), unless the institutional-share requirements have been waived. For example, if the total earned compensation for community service is \$10,000, then Field 25 should be \$7,500 ($\$10,000 \times .75$). Field 26 should be \$2,500 ($\$10,000 \times .25$). However, if the school has an approved waiver, Field 25 should be \$10,000 and Field 26 should be \$0. The Federal share of FWS compensation paid to a student must not exceed 75% unless a waiver applies.

26 Non-Federal share of community service earned compensation

Report the non-Federal (institutional plus off-campus employer) share of compensation earned by the students employed in community service jobs.

Section I. Information about FWS reading tutors of children and tutors in family literacy programs

The information reported here may also be part of the information reported above on community service if the reading tutoring for children and/or tutoring in family literacy program services were open and accessible to the community.

27 Number of students employed as FWS reading tutors of children and tutors in family literacy programs

Report the number of students employed as FWS reading tutors of children and/or tutors in family literacy programs during the 1998-1999 award year.

The reading tutoring must be provided to preschool age children and children in elementary school. A tutor working in a

family literacy program must provide services to children from infancy through elementary school, or to their parents or caregivers. The work must be performed by the FWS student for the institution itself, for a Federal, state or local public agency, or for a private nonprofit organization.

28 Federal share of earned compensation for FWS reading tutors of children and tutors in family literacy programs

Enter the Federal share of compensation earned by FWS reading tutors of children and/or tutors in family literacy programs during the 1998-1999 award year.

The amount may be up to 100 percent of the compensation earned by a FWS student employed as a reading tutor of children and/or a tutor in a family literacy program. The institution did not have to make a request to the Department to use these waivers of the FWS institutional-share requirements. The institution has the option of continuing to provide an institutional-share and determining the amount of that share.

29 Total earned compensation for FWS reading tutors of children and tutors in family literacy programs.

Report the total compensation earned by FWS reading tutors of children and/or tutors in family literacy programs during the 1998-1999 award year.

Instructions for Part VI:

Program Summary

This part consists of two sections. Section A asks you to identify aid recipients by type of student and by income category for dependent and independent undergraduates, and to enter the amount that you spent in each category of aid recipients. Section B assists you in calculating the administrative cost allowance.

Who must complete Part VI, Section A?

If you participated in the Federal Perkins Loan, FSEOG, or FWS Program in the 1998-1999 award year, you must complete this section.

What do I need to complete this section?

You will need data from Parts III, IV, and V of this FISAP, and from your institution's records.

Field-by-field instructions for Part VI, Section A

Report the distribution of aid recipients and the amounts spent during the 1998-1999 award year by taxable and untaxed income level, for undergraduate dependent students (fields 1 through 7), undergraduate independent students (fields 8 through 14) and/or graduate/professional students (field 15). All graduate/professional students must be entered in field 15, columns a, e, and g. Students reported in fields 1 through 15 are all students, whether full-time or part-time. Students entered in field 17 are those students from fields 1 through 15 enrolled less than full-time. Students entered in field 18 are those students from fields 1 through 15 with an automatic zero EFC. The entries in column g are an unduplicated count and for most institutions are not the sum of columns a, c, and e.

The definitions for dependent, independent, undergraduate, and graduate/professional are the same as for Part II, Section H.

Income categories for fields 1 through 14 are determined in the same manner as those income levels used for the eligible aid applicants. (See Part II, Section H).

For students designated as having an automatic zero EFC, placement is determined by the student's income that would have been used to calculate an Expected Family Contribution for 1998-1999 if the student had not been designated as having an automatic zero EFC. These students should be included in fields 1 through 15.

A student who was a recipient in more than one academic category in 1998-1999 (e.g., undergraduate one term, and graduate another, dependent/independent, or changed from full-time to less than full-time status), should be reported in the category in which they were enrolled during the final term of the 1998-1999 academic year, or the final month of the training program for institutions with a non-traditional calendar.

Field

1-7 Undergraduate dependent

Column a. Report the number of undergraduate dependent Federal Perkins Loan Program recipients for each income level in fields 1 through 7.

Column b. Report the amounts lent to borrowers in column a for the income levels in fields 1 through 7.

Column c. Report the number of undergraduate dependent FSEOG recipients for each income level in fields 1 through 7.

In order to be an FSEOG recipient the student must have received some Federal funds from the FSEOG Program in the 1998-1999 award year.

Column d. Report the amount provided to FSEOG recipients in column c for each income level in fields 1 through 7.

Under the "Individual FSEOG Recipient Basis" and "Fund Specific Basis" methods of providing the non-Federal share, the institution must report for each FSEOG recipient the appropriate 25% non-Federal and 75% Federal shares unless the institution

has been granted a waiver. However, under the Aggregate Basis method each FSEOG recipient will not have received the 25% non-Federal share. For the Aggregate Basis method, report the amount of non-Federal share for the appropriate income level of the FSEOG recipient who actually received the non-Federal share. (Refer to the 1999-2000 Federal Student Financial Aid Handbook, Chapter 8, for more information on these methods).

Column e. Report the number of undergraduate dependent FWS recipients for each income level in fields 1 through 7.

Column f. Report the amount earned by FWS recipients in column e for each income level in fields 1 through 7.

Column g. Report the unduplicated number of recipients for columns a, c, and e for each field 1 through field 7.

Field 8-14 Undergraduate independent

Column a. Report the number of undergraduate independent Federal Perkins Loan Program recipients for each income level in fields 8 through 14.

Column b. Report the amount lent to borrowers in column a for the income levels in fields 8 through 14.

Column c. Report the number of undergraduate independent FSEOG recipients for each income level in fields 8 through 14.

Column d. Report the amount provided to FSEOG recipients in column c for each income level in fields 8 through 14.

Column e. Report the number of undergraduate independent FWS recipients for each income level in fields 8 through 14.

Column f. Report the amount earned by FWS recipients in column e for each income level in fields 8 through 14.

Column g. Report the unduplicated number of recipients for columns a, c, and e for each

field 8 through 14.

15 Graduate/Professional

Column a. Report the number of graduate/professional recipients in the Federal Perkins Loan Program.

Column b. Report the amount advanced to Federal Perkins Loan graduate/professional recipients in column a.

Column e. Report the number of graduate/professional recipients in the FWS program.

Column f. Report the amount earned by FWS graduate/professional recipients in column e.

Column g. Report the unduplicated number of recipients in columns a and e.

16 Total

The Electronic FISAP process will automatically calculate field 16 totals for columns a, b, c, d, e, f, and g.

In column b, the total amount lent equals Part III, Section B, field 5.

In column d, the total FSEOG amount spent equals Part IV, Section C, field 5.

The total amount of FSEOG funds spent includes expenditures made from these sources:

FSEOG Federal funds,

FWS and Federal Perkins funds transferred to FSEOG, and

Non-Federal share.

In column f, the total FWS funds to students equals Part V, Section C, field 11.

The total amount of FWS funds spent includes expenditures made from these sources:

FWS Federal funds, Federal Perkins funds transferred to FWS, and

Non-Federal share.

Column g. Report the unduplicated number of recipients in columns a, c, and e.

17 Total less than full-time students

Column a. Of the students listed in fields 1-15, report the number of Federal Perkins Loan Program undergraduate and graduate/professional recipients who were less than full-time students.

Column b. Report the funds lent to borrowers in column a.

Column c. Of the students listed in fields 1-14, report the number of FSEOG recipients who were less than full-time students.

Column d. Report the funds awarded recipients in column c.

Column e. Of the students listed in fields 1-15, report the number of FWS undergraduate and graduate/professional recipients who were less than full-time students.

Column f. Report the funds earned by recipients in column e.

Column g. Report the unduplicated number of recipients in columns a, c, and e.

18 Total automatic zero EFC students

Column a. Of the students listed in fields 1-15, report the number of Federal Perkins Loan Program undergraduate and graduate/professional recipients who were automatic zero EFC students.

Column b. Report the funds lent to borrowers in column a.

Column c. Of the students listed in fields 1-14, report the number of FSEOG undergraduate recipients who were automatic zero EFC students.

Column d. Report the funds awarded recipients in column c.

Column e. Of the students listed in fields 1-15, report the number of FWS undergraduate and graduate/professional recipients who were automatic zero EFC students.

Column f. Report the funds earned by recipients in column e.

Column g. Report the unduplicated number of recipients in columns a, c, and e.

Who must complete Part VI, Section B?

If you are claiming an administrative cost allowance for the 1998-1999 award year, you must complete this section.

Against what programs may I charge the administrative cost allowance?

You may charge the administrative cost allowance against:

your Federal Perkins Loan Fund, if you made Federal Perkins Loans to students during the 1998-1999 award year,

your FSEOG funds, if you made FSEOG awards to students during the 1998-1999 award year, and/or

your FWS funds, if you provided FWS employment to students during the 1998-1999 award year.

For the Federal Perkins Loan or FWS Programs, you may not charge the administrative cost allowance against a program's funds if your only expenditure in that program was a transfer of funds to another program.

Instructions for Part VI, Section B

(Use these screens as your worksheet.) Follow each field calculation for steps 1 and 2.

Step 3, field 23 - Once the total administrative cost allowance is computed, you may charge this amount - at the institution's discretion - to available funds under one or more of the campus-based programs. (For the Federal Perkins Loan Program, available funds represent cash on hand in the Loan Fund.)

Retain a copy of the worksheet for audit and program review purposes.

Campus-Based Programs

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